

FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (REV. 01-2003)		ATTORNEY'S DOCKET NUMBER 2002DE408
<b>TRANSMITTAL LETTER TO THE UNITED STATES          DESIGNATED/ELECTED OFFICE (DO/EO/US)          CONCERNING A FILING UNDER 35 U.S.C. 371</b>		U.S. APPLICATION NO. (If known, enter 37 CFR 1.5) to be Assigned <b>10/506488</b>
INTERNATIONAL APPLICATION NO. PCT/EP03/01928	INTERNATIONAL FILING DATE 26 February 2003	PRIORITY DATE CLAIMED 07 March 2002
TITLE OF INVENTION Thermally Stable Polyalkylene Glycols as Lubricants for Refrigerators		
APPLICANT(S) FOR DO/EO/US Klaus POELLMANN, Anton STRASSER, Oliver PFUELLER, Josef KAPFINGER		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> Has been communicated by the International Bureau. c. <input type="checkbox"/> Is not required, as the application was filed in the United States Receiving Office (Ro/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> Has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> Have been communicated by the International Bureau. c. <input type="checkbox"/> Have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> Have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input checked="" type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
<b>Items 11 to 20 below concern document(s) or information included:</b>		
11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An application Data Sheet under 37 CFR 1.76 15. <input type="checkbox"/> A substitute specification 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter .2 and 37 CFR 1.821 – 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information:		
• Express Mail Label Number: ER654099424US; copy of the International Search Report; Transmittal Letter Notification of Amendments Under PCT Article 34 w/ 2 sheets of English translated Annexes		

U.S. APPLICATION NO. (if known see 37 CFR 1.53)  
to be assigned

INTERNATIONAL APPLICATION NO.  
PCT/EP03/01928

ATTORNEY'S DOCKET NUMBER  
2002DE408

USPTO Rec'd PCT/PTO 02 SEP 2004

21. ☒ The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Neither international preliminary examination fee (37 CFR 1.482)  
Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO.....\$1,080.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO.....\$ 920.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search fee (37 CFR 1.482) paid to USPTO.....\$770.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33 (1)-(4).....\$730.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33 (1)-(4) .....\$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 920.00

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months  
From the earliest claimed priority date (37 CFR 1.492(e)).

\$ 0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	8 - 20 =	0	x \$18.00	\$ 0.00
Independent claims	2 - 3 =	0	x \$86.00	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$290.00	\$ 0.00

**TOTAL OF ABOVE CALCULATIONS =**

\$ 920.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fee indicated above are  
reduced by 1/2.

\$ 0.00

**SUBTOTAL =**

\$ 920.00

Processing fee of \$130.00 for furnishing the English translation later than 30 months  
From the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0.00

**TOTAL NATIONAL FEE =**

\$ 920.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

**TOTAL FEES ENCLOSED =**

\$ 960.00

Amount to be  
refunded:

\$

charged:

\$

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 03-2060 in the amount of \$ 960.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 03-2060. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card  
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)  
or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Clariant Corporation  
Industrial Property Department  
4000 Monroe Road  
Charlotte, North Carolina 28205  
Telephone: 704-331-7151  
Fax: 704-331-7707

Anthony A. Bisulca  
SIGNATURE

Anthony A. Bisulca  
NAME

40,913  
REGISTRATION NUMBER

Customer Number 25,255

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Express Mail Label Number ER654099424US**

**Date of Mailing: September 2, 2004**

**CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that on the date indicated above this International application and the documents referred to as enclosed therein, of:

**Inventors: Klaus POELLMANN  
Anton STRASSER  
Oliver PFUELLER  
Josef KAPFINGER**

**For: Thermally Stable Polyalkylene Glycols as Lubricants for  
Refrigerators**

**International Application No.: PCT/EP03/01928  
International Filing Date: 26/02/2003 (26 February 2003)  
Priority Filing Date: 07/03/2002 (07 March 2002)**

is being deposited with the United States Postal Service as "Post Office to Addressee" Express Mail addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, Mail Stop:, in accordance with 37 CFR 1.10.

  
\_\_\_\_\_  
Vicki L. Sgro